INSTRUCTIONS
SES Data for Performance Appraisal System Certification, System Standards and Metrics, and Annual Report

Reminders —

Please enter data into the attached template. Please note that there are two worksheets (tabs) in the template: General Information and Annual Reporting Data.

So data can be analyzed in a timely manner, ensure that:
- The SES member's name or unique identifier is consistent from year to year,
- The actual compensation received as pay adjustments by the member is the data reported,
- The full amount of any awards granted to the member is the data reported, and
- All comments are included in the Explanatory Comments column (Column V) and not in the data fields.

Please contact Justin Sams at justin.sams@opm.gov if you have any questions about the template or instructions.

The descriptions below explain the information to be entered within each field of the template.

GENERAL INFORMATION

Date — Enter the date this report is submitted to OPM.

Agency or Component(s) — Enter the name of the agency or component(s) covered by the appraisal period being reported. (Note: A separate submission is required for each certified system.)

Point of Contact Name, Phone Number, and Email — Enter the name of the agency point of contact, phone number, and email address to clarify any questions about the agency's data.

These data represent compensation and awards based on the ratings for, or granted during, the following appraisal period: Start: End: — Enter the start and end dates of the appraisal period for the ratings reported.

Summary Rating Pattern (D, F, G or H) — Enter the summary rating pattern used:
- Pattern D for rating levels 1, 2, 3 (Note: OPM will not certify appraisal systems using this pattern.)
- Pattern F for rating levels 1, 2, 3, 5
- Pattern G for rating levels 1, 2, 3, 4
- Pattern H for rating levels 1, 2, 3, 4, 5

Total Members — Enter the total number of SES members, including career, non-career, and limited.

Total Members Paid Above Level III of the Executive Schedule — Enter the total number of SES members (including career, non-career, and limited) with final rates of basic pay, after pay adjustments, above level III of the Executive Schedule.

Total Members Eligible to be Rated — Enter the total number of SES members (including career, non-career, and limited) eligible to be rated.

Total Members Not Rated — Enter the total number of SES members (including career, non-career, and limited) who did not receive a rating for the appraisal period (e.g., those who have not been under an appraisal period for the minimum period).
Performance Award Pool Amount ($) and (%)— Enter the total dollar amount of the performance awards pool and the percentage of aggregate career SES base pay on which the awards pool was calculated.

- For Fiscal Year (FY) 2015, agencies must limit total spending on individual SES performance awards to no more than 4.8% of the aggregate salaries of their career SES members at the end of the previous FY (i.e. September 30, 2014).

Performance Award Pool Payout — Enter the percentage of the awards pool that was actually awarded in performance awards (i.e., the total dollar amount of performance awards paid divided by the performance awards pool amount).

Date of Performance-Based Pay Adjustments — Enter the date that most of the "annual" pay adjustments from Column I ("Performance-Based Pay Adjustment") were made. These adjustments start the clock on the 12-month rule and typically are paid the first pay period in January.

REPORTING DATA

Column A — SES Members
Enter the name and/or other unique identifier for each SES member. Agencies must ensure that the same name or identifier is used for the same employee in subsequent years to allow for longitudinal analysis (e.g., Smith, J should be reported as Smith, J for each report; Smith, John cannot be substituted. If Jackson, V is identified as 857 then she should be reported as 857 each year.). Agencies, agency components, and members in positions excluded under 5 U.S.C. 3132(a)(1) should not be included.

Column B — Tier
If the agency uses pay tiers, enter the pay tier assignment of each SES member (i.e., control points within the broad SES pay range). If the agency does not use pay tiers, leave blank. The pay tiers should be reported as ordinal numbers with number 1 designating the highest.

- 1 - Highest pay range
- 2 - Middle range
- 3 – Lowest pay range

Column C — Appt. Type
Enter the appointment type for each SES member using only one of the following indicators (do not leave blank):

- C - Career
- N - Non-Career
- L - Limited

Column D — New Appt.
Enter an “X” in this column to indicate SES members newly appointed to the agency or component who have not received a performance rating or pay adjustment based on the appraisal period reported.

Column E — Rating
Enter the member’s summary rating for the appraisal period reported. The summary rating will be one of the following (do not leave blank):

- 5 - Outstanding or equivalent
- 4 - Exceeds Fully Successful or equivalent
- 3 - Fully Successful or equivalent
- 2 - Minimally Successful or equivalent
- 1 - Unacceptable or equivalent
- **X - Not Rated** (When an SES member is not rated, include the reason in the Explanatory Comments column (Column V))

**Compensation**

- **Column F - Additional Pay Adjustments and Exceptions to 12-Month Rule ($)**: Enter the dollar amount of an SES member's pay adjustment if an additional adjustment (other than the annual adjustment or MRP) was given during the rating period reported. An explanation of the basis for the adjustment (i.e., the exact reason for the exception to the 12-month rule and applicable legal citation) must be included under Explanatory Comments (Column V).

- **Column G - Additional Pay Adjustments and Exceptions to 12-Month Rule (%)**: Enter the amount of the pay adjustment reported in Column F expressed as a percent. To calculate the percentage of the additional pay adjustment/exception to 12-month rule, divide the dollar amount of the adjustment (reported in Column F) by the rate of basic pay prior to the adjustment.

- **Column H - Rate of Basic Pay Prior to Performance-Based Pay Adjustments**: Enter the SES member's rate of pay at the end of the appraisal period being reported. Unless additional pay adjustments occurred during the rating period, this amount should match the previous year amount for rate of basic pay after performance-based pay adjustments.

- **Column I - Performance-Based Pay Adjustment ($)**: Enter the dollar amount of the SES member's pay adjustment based on the rating reported and paid under the authority of 5 CFR 534.404(b)(1) and (g), excluding any amount provided independently under the authority of 5 CFR 534.404(b)(4) to maintain relative position (MRP) within the rate range at the same time the rate range is adjusted. Pay adjustments must not be made equally across-the-board to SES members without regard to rating.
  - Use negative numbers when executive pay was reduced;
  - Put a zero when no pay adjustment was given based on agency pay policy (include the reason in the Explanatory Comments column (Column V), i.e., no pay adjustment given based on agency pay policy);
  - Leave blank when no pay adjustment was given because the executive retired, left the agency, or could not be rated (include an explanation in the Explanatory Comments column (Column V)).

- **Column J - Performance-Based Pay Adjustment (%)**: Enter the amount of the performance-based pay adjustment reported in Column I expressed as a percent. To calculate the percentage of the performance-based pay adjustment, divide the dollar amount of the adjustment by the rate of basic pay prior to pay adjustments (Column H).

- **Column K - Pay Adjustment to Maintain Relative Position (MRP) ($)**: Enter the dollar amount of any increase in the rate of basic pay of the SES member made solely for the purpose of maintaining all or some portion of the member's relative position in the SES rate range at the time the rate range is adjusted as authorized under 5 CFR 534.404(b)(4) (this is the amount to be excluded from Column I, as indicated above).
  - Put a zero when no MRP pay adjustment was given, including when an executive is already paid above EX-III and does not meet the requirements for granting one (see 5 CFR 534.404(b)(4));
  - Leave blank when the agency does not use this authority or when no MRP pay adjustment was given because the executive retired, left the agency, or could not be rated (include an explanation in the Explanatory Comments column (Column V)).

- **Column L - Pay Adjustment to Maintain Relative Position (%)**: Enter the amount of the MRP pay adjustment reported in Column K expressed as a percent. To calculate the percentage of the pay adjustment to Maintain Relative Position, divide the dollar amount of the MRP adjustment (reported in Column K) by the rate of basic pay prior to pay adjustments (Column H).

- **Column M - Rate of Basic Pay After Pay Adjustments**: Enter the SES member's rate of pay after all adjustments based on the rating for the appraisal period being reported. (Rate of Basic Pay After Pay Adjustments should equal the Rate of Basic Pay Before Performance-Based Pay Adjustments plus any adjustments (Column H + Column I + Column K = Column M)).
Awards —

- **Column N - Performance ($)**: Enter the dollar amount for a performance award given based on the rating for the appraisal period reported. The statutory minimum and maximum for individual SES performance awards is 5% and 20%, respectively.
  - Put a zero when no performance award was given;
  - Leave blank when no performance award was given because the executive retired, left the agency, or could not be rated (include an explanation in the Explanatory Comments column (Column V)).

- **Column O - Performance (%)**: Enter the amount of the performance award given based on the rating for the appraisal period reported in Column N, expressed as a percent. To calculate the percentage of the performance award, divide the dollar amount of the award (reported in Column N) by the rate of basic pay prior to pay adjustments (Column H).

- **Column P - Cash ($)**: Enter the total dollar amount for individual or group cash awards given during the period reported. If multiple cash awards were given, include an explanation and the number and amount of separate awards in the Explanatory Comments column (Column V). (Note: A cash award over the amount of $10,000 requires OPM approval. Indicate the approval in the Explanatory Comments column (Column V)).

- **Column Q - Cash (%)**: Enter the total amount of individual or group cash awards given during the period reported in Column P, expressed as a percent. To calculate the percentage of the cash award, divide the dollar amount of the cash award (reported in Column P) by the rate of basic pay prior to pay adjustments (Column H).

- **Column R - Presidential Rank ($)**: Enter the dollar amount of a Presidential Rank award granted during the period reported. Report the full amount of the Rank award.
  - When the full amount of the Rank award cannot be paid due to the aggregate limitation on compensation, the excess amount is withheld from the award and paid at the beginning of the following calendar year, unless such payment would cause the executive’s aggregate compensation to exceed the limit for that new calendar year.

- **Column S - Presidential Rank (%)**: Enter the amount of the Presidential Rank award granted during the period reported in Column R, expressed as a percent (i.e., 20% or 35%). Indicate whether the Rank award is “Meritorious” or “Distinguished” in the Explanatory Comments column (Column V).

**Column T — Excess of Aggregate Limit ($)**

Enter the total dollar amount that was delivered in January of the current year because it was in excess of the aggregate limitation on compensation for the period being reported, as established by 5 U.S.C. 5307 (basic pay, relocation, retention, recruitment incentives, cash awards, and lump sum payments). When a member would receive total payments subject to the limitation that would exceed that limitation, he/she would be paid up to the allowable limit in the calendar year payments are authorized and would receive the remainder at the beginning of the next calendar year. Since the annual data report is due in March of each year, report the excess amount from the report period now delivered in January.

Example: if the VP salary was $215,700 and an executive under a certified system earned $250,000 in various covered payments during the year, plus $25,000 at the beginning of the year that could not be paid the year before, the amount reported would be $59,300 (250,000 + 25,000 = 275,000 - 215,700 = 59,300).

**Column U — Blank Pay Adjustment/Awards**

Indicate if the member retired, left the agency, or is otherwise ineligible to receive a pay adjustment and/or performance award using only one of the following indicators:

- R – Retired
- L – Left Agency
• I – Ineligible ("I" should be used when the member is ineligible for a pay adjustment or performance award (e.g. non-career or limited term appointees, Acting OIGs, Acting Chair or Agency Heads, etc.) Do not use "I" for new members and members who were not rated.)
• Note: If the member retired or left the agency during the period reported, include the effective date in the Explanatory Comments column (Column V).

Column V — Explanatory Comments

Explain special circumstances affecting the SES members’ ratings, pay or awards. Also, explain additional pay adjustments and exceptions to the 12-month rule. Include the exact exception reason and note legal citation. Any time either of the compensation columns (performance-based pay adjustment or MRP) or the performance award column contains a zero or a blank, list the reason in this section (e.g., agency policy—usually for a zero, or no longer with the agency—usually for a blank based on retired, separated, or transferred employees). All comments should appear in this column, no comments should appear in other data fields.